

NOAA Records Disposition Handbook
Chapter 100: Records Common to All NOAA Offices
Rev. 9/03

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Chapter 100: Records Common to All NOAA Offices

This chapter of the *Records Disposition Handbook* describes official NOAA program and mission records that may be located throughout all NOAA Headquarters offices, Line Offices, bureaus, services, centers, laboratories, divisions, branches, sections or other organizational unit, and in all NOAA regional and field offices. The records in this chapter are unique program records in NOAA, and many of the records listed are permanently valuable and should be transferred to the National Archives in accordance with the disposition instructions, such as photographs and certain program correspondence subject files. These records are important in preserving the history of NOAA, and to maintain a record of significant decisions, actions, policies, and programs. Other records are listed as temporary, and should be transferred to a federal records center or destroyed in accordance with the approved disposition. The provisions of this schedule apply wherever records performing the function or functions described below are found regardless of the operating unit, division, or the location of the records in NOAA. In some instances, specific NOAA offices are identified as the office of record, and disposition instructions for records in those custodial offices are provided.

Chapter 200 lists the most common administrative and housekeeping records that are often maintained in NOAA offices at all levels. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions, such as personnel records, pay administration and payrolling, procurement records, financial records, travel and transportation, administrative management, and other record series that are already scheduled in the General Records Schedule (GRS) issued and approved by the National Archives.

Other chapters of the *Records Disposition Handbook* provide disposition instructions for other series of records that relate to unique functions within NOAA, or that would not be found across all NOAA administrative units, i.e. Chapter 1200, Scientific and Technical Records; and Chapter 600, International Affairs Records. If unique NOAA program records are not listed in either Chapters 100 or 200, or in specific functional chapters of this Handbook, contact the NOAA Records Management Officer for disposition instructions and assistance.

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-01 Publications, Studies, and Reports (N1-370-90-3, Item 1501-16)

One copy of all official NOAA publications formally coordinated, prepared, and printed by the Government Printing Office, private contractors, or the agency itself including but not limited to annual reports to Congress and the Secretary of Commerce; special project studies and reports that are conducted by NOAA or under contract to NOAA; journals, technical reviews, catalogs, and other scientific and technical publications prepared by

NOAA; procedural or policy manuals, handbooks, and other agency guidance; public relations flyers, brochures and educational materials prepared to furnish information or to promote agency programs and operations to the public.

AUTHORIZED DISPOSITION:

a. Official record set. One copy of each official NOAA publication, study, report, scientific paper, or other formally published or informally produced materials.

PERMANENT. Break files annually and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

b. All other copies. Duplicate copies of NOAA publications maintained by all NOAA operating units and divisions solely for convenience of reference.

Destroy when no longer needed for current agency business.

c. Manuscripts and Reviews of Manuscripts. Manuscripts and reviews of manuscripts submitted to NOAA or other public or private publisher for review and comment prior to publication.

Destroy when no longer needed for frequent reference or when 3 years old, whichever is sooner.

d. Publication clearance and review records. Files containing official documentation of the NOAA publication review and approval process.

Destroy 3 years after notification of publication.

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-02**

Unofficial, Routine, or Informal Publications, Newsletters, Bulletins, Calendars, and Announcements

Publications circulated or distributed to NOAA staff for informational purposes. These publications are not considered to be official NOAA publications, nor have they been submitted to formal editorial review board offices or received other formal review and approval prior to publication.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business.

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-03

Administrative Issuances (N1-370-76-2, Items 4a, 4b, and 6)

The distribution copies and the official record set of all NOAA directives, bulletins, organization charts, functional statements, administrative manuals, and similar records.

Office of Record: Office of Administration

AUTHORIZED DISPOSITION:

a. Official Record Set

The original file copy of all NOAA directives, bulletins, organization manuals and charts, functional statements, and similar administrative issuances and manuals.

PERMANENT. Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

b. Distribution copies

Duplicate copies of NOAA directives, bulletins, organization charts, mission and functional statements, issuances, and administrative manuals maintained outside of the NOAA Office of Administration..

Destroy when superseded or when no longer needed for current agency business.

c. Working papers and background materials. Case files containing a record of concurrence, comments, clearances, justifications, and other background notes or issuance history records for all agency directives, administrative issuances, internal and external reorganization proposals, and bulletins.

PERMANENT: Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

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-04

Technical and General Reference Materials

Non-record, unofficial, or duplicate copies of books, publications, manuals, reports, newsletters, press releases, professional journals, reprints, trade catalogs, and other similar materials maintained solely for convenience of reference.

AUTHORIZED DISPOSITION: Destroy when superseded, obsolete, or no longer needed for current agency business.

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-05

Reading Files (also known as "Chron" or Day Files)

Duplicate copies of outgoing correspondence prepared by NOAA organizational units and circulated to staff, or maintained in offices solely for convenience of reference.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business, or when 2 years old, whichever is sooner.

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-06

Photographic Prints, Negatives, and Slides (supersedes NC1-370-75-1, Item 1106-04)

Photographic negatives, prints, transparencies, and slides related to NOAA's mission and programs. These photographs may be maintained in all NOAA operating units, divisions, branches or sections, or in organized central photograph files within any NOAA administrative unit.

NOTE: For each type of audiovisual record designated as permanently valuable under Subitem 100-06a of this chapter, the specific components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.

AUTHORIZED DISPOSITIONS:

a. Original or master negatives, slides, and photographic prints

Photographic records maintained in NOAA units at all levels or in organized central photograph files relating to architecturally or historically significant NOAA buildings, research facilities, and laboratories; aircraft, ships, and spacecraft; especially significant or precedential laboratory and scientific equipment or apparatus; scientific and technical research projects and experiments that are not maintained as a part of an official project case file (scheduled in Chapter 1200, Item 1); significant special studies and other investigations; and portraits of senior agency officials or distinguished NOAA researchers, and other significant photographs that document activities directly related to NOAA's mission and programs.

NOTE: To provide for the proper preservation of NOAA's photographic images, color and black and white negatives and photographic prints should be maintained in separate files while in agency custody, and transferred separately to the National Archives in accordance with the disposition instructions below.

a(1) Black and white and color negative photography: the original negative, and a captioned print.

a(2) Color photography: the original negative, a captioned print, and a duplicate negative, if one exists.

a(3) Color transparency and slide photography: The original and one duplicate copy.

a(4) Slide sets or filmstrips and accompanying audio recordings or scripts: The original and one duplicate copy.

a(5) Finding aids: All finding aids, whether electronic or hard copy, relating to the photographic records described above.

PERMANENT. Break files every 5 years and transfer the required record elements listed above directly to the National Archives in 5-year blocks when 20 years old.

b. Routine photographs, negatives, and slides

Photographs, negatives, slides of routine award ceremonies, common laboratory equipment, routine research projects, duplicate copies of slides, transparencies, or photographs used for audiovisual presentations, and other photographic records that are not related to NOAA's mission, activities, and programs.

Destroy when no longer needed for current agency business, or when 10 years old, whichever is sooner.

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-07

Public Affairs Photographs, Negatives, and Slides (Supersedes NC1-370-75-1, Item 1106-04)

Photographs, slides, negatives, graphic arts, and posters documenting NOAA public affairs activities, or used for annual reports or other publications, news releases, project bulletins, exhibits, and for other public affairs or communications purposes.

Office of Record: Public Affairs Division

a. Official Record Set

PERMANENT. Break files annually and transfer the required record elements listed in Item 100-06 directly to the National Archives when 10 years old.

b. All other copies

Destroy when no longer needed for current agency business.

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-08

Sound Recordings, Videotapes, Motion Picture Film, and other Audiovisual Records (Supersedes NC1-370-75-1, Item 1106-08, 1106-10, 1106-11)

Sound recordings, videotapes, motion picture films and equivalent or related records created or produced by NOAA, or acquired from other outside sources.

NOTE: For each type of audiovisual record designated as permanently valuable, the specific record components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.

Video recordings: The original or earliest generation of each video recording, and a dubbing, if one exists.

Sound recordings: The original or earliest generation of each audiotape recording, and a dubbing, if one exists.

Motion pictures: Agency-sponsored films: The original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.

Acquired films: Two projection prints or one projection print and a video recording.

Unedited footage: The original negative or color original, work print, and an intermediate master positive or duplicate negative, if one exists, appropriately arranged, labeled, and described.

AUTHORIZED DISPOSITION:

a. Official record set

The original master sound or video recording, or the original film negative and one print of motion picture film that documents scientific and engineering research programs and activities conducted by NOAA; public affairs or news interviews with NOAA officials and staff; news releases and public service announcements; and other productions created to disseminate agency information regarding NOAA operations and programs to the public.

PERMANENT. Break files every 5 years and transfer the required record elements listed above directly to the National Archives.

NOTE: The National Archives reserves the right to dispose of any material already appraised as disposable under the General Records Schedules or other approved agency schedules, as well as all duplicate, unidentifiable, fragmentary, unrelated, or non-archival materials during archival processing without further agency notification.

b. All other copies

Destroy when no longer needed for current agency business.

a. Posters, charts, flyers, brochures, handouts, and other graphic arts that are related to NOAA mission or programs and are distributed agency-wide or to the public for promotional, scientific, educational, exhibition, or public relations purposes.

AUTHORIZED DISPOSITION: PERMANENT. Break files every five years and transfer two copies of each poster or graphic art product directly to the National Archives.

b. Posters, charts, flyers, brochures, handouts and similar records that advertise or publicize activities not directly related to NOAA's missions or programs such as charity drives, credit unions, general building and fire safety programs, facilities and energy conservation programs, professional meetings and associations, personnel and employee services, and the like.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business.

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-10

Public Affairs Speeches, Comments, and News Releases (Supersedes NC1-370-75-1, Item 1105-01, and Item 1105-07)

The original or official copy of all NOAA news or press releases; copies of speeches, addresses and comments made by senior NOAA and Department of Commerce officials; transcripts or summaries of remarks made for news or public affairs program interviews on television or radio, or at Congressional hearings; and similar interviews, speeches, or hearings that relate to official NOAA policies and programs.

Office of record: Public Affairs Division

a. Official Record Set

PERMANENT. Break files annually and transfer to the FRC when 3 years old. Transfer to the National Archives when 20 years old.

b. All other copies

Destroy when no longer needed for current agency business or when 5 years old, whichever is sooner.

Line Organization, Bureau, and Division Program Records

This section covers program records maintained by both management and technical Line Organizations, bureaus, and other NOAA program units. It pertains to records created regarding the management of NOAA L.O.s, laboratories, units, or divisions. Covered elsewhere in this schedule are general records such as publications, reference materials, administrative issuances, project case files, and NOAA scientific and technological records. Scientific and technical program records, as well as other unique scientific records are covered in separate functional chapters of this schedule, such as Chapter 1200.

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-11 Program Correspondence Subject Files Maintained at the Operating Unit, Line Organization (L.O.), and Program Office Above the Division Level

Official files of all incoming and outgoing correspondence, memoranda, annual reports and program area reports; special studies; long-range planning records; speeches, addresses, or presentations made by NOAA HQ, L.O., and Operating Units; reports prepared for Congress or its committees, and similar records that are created and maintained above the Division level within NOAA. These records document NOAA programs, policies, procedures, decisions, initiatives, long-range planning, organization, functions, and other mission-related, program-related or policy-related management issues, and are usually filed alphabetically by subject.

NOTE: This item does not cover unique program subject files that serve a specific function or purpose, and that are listed in other functional chapters of this handbook. Refer to the appropriate functional chapter for disposition of these records.

AUTHORIZED DISPOSITION: PERMANENT. Break files annually and transfer to the Federal Records Center when 6 years old; transfer to the National Archives when 20 years old.

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-12 Program and Correspondence Subject Files Maintained at the Division Level or Lower

Official files of all incoming and outgoing correspondence, memoranda, reports, studies and other records relating to the management of NOAA administrative and technical divisions, branches, sections, or other administrative units that are created and maintained at or below the Division level within NOAA, and usually filed alphabetically by subject.

AUTHORIZED DISPOSITION: Break files annually and destroy when 5 years old, or 5 years after the file is closed.

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Routine and Non-Program Related Congressional and Constituent Correspondence Records (Supersedes NC1-370-75-1, Item 25-4)

Copies of routine correspondence referred to NOAA from members of Congress, and NOAA replies to Congress or Congressional constituents. This correspondence is often controlled by the NOAA Executive Secretariat and forwarded to the respective NOAA unit for a response. After the response is approved and signed, the original incoming correspondence and a copy of the outgoing letter is returned for filing purposes to the unit that prepared the response.

NOTE: Briefing materials and reports prepared for Congress are not covered by this item. Refer to Items 11 or 12 above for the appropriate disposition for these records.

AUTHORIZED DISPOSITION: Break files annually and destroy when 3 years old.

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Routine Public Relations Correspondence Files (GRS 16, Item 3)

Routine requests for information from the public that require no policy determination, special research, or administrative action. These records may include requests for publications or public relations materials, copies of news releases or news articles prepared for distribution, copies of speeches by NOAA staff, and the like.

AUTHORIZED DISPOSITION: Destroy when three months old or when no longer needed for reference, whichever is sooner.

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Current Legislation and Regulation Reviews and Comments (Supersedes NC1-370-76-5, Item 10)

Recommendations for proposed legislation, comments or reviews of pending legislation, comment on proposed regulations, and other input records that are sent to central NOAA office from other NOAA units, or to the General Counsel. *NOTE: This item does not*

apply to official file copies of comments, correspondence, memorandums, reports, or other records in the General Counsel's office, or in the NOAA HQ unit that requested the comments or reviews.

AUTHORIZED DISPOSITION: Break closed files annually and destroy when 2 years old.

NOAA Committee, Board, and Conference Records

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NOAA-Sponsored Committee, Task Force, Conference, Group, and Board Records (Supersedes NC1-370-76-5, Items 5a, 5b, 5c)

Records created by NOAA-sponsored committees, task forces, conferences, boards, or other advisory, governing or policy bodies or organizations to develop or revise scientific programs, coordinate scientific and technological research for the federal government, the United States, or for international scientific and technological projects; to implement new legislation, regulations, policies, or programs affecting NOAA; to review NOAA technical and scientific programs or projects; and for other purposes that are consistent with NOAA's mission. The disposition instructions apply to all such committees unless specific committees are individually listed in separate program areas of this records schedule.

In each case, NOAA staff or offices have certain designated sponsorship, governing, policy, or recordkeeping responsibilities for these committees. The files of the Secretary, recordkeeper, or designated federal officer are considered to be the official records of the committees' activities. The files of other members are considered to be duplicate copies of official records, and are disposable as indicated in subitem "e." In those instances where the chairman of a committee operates in the dual function as a recording secretary or the office of record, the chairman's records will be considered the records of the Secretary.

AUTHORIZED DISPOSITION:

a. Official Committee Records. Minutes or meeting summaries, agendas, transcripts, reports, studies, and publications in the Secretary's office, or the designated recordkeeping office.

PERMANENT. Break files when 5 years old or when a new Secretary is in place, and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

b. Routine Administrative Records. Membership records, administrative correspondence, mailing or distribution records, and other routine administrative committee records.

Destroy when superseded, or when no longer needed for current agency business.

c. Records of Committee Officers. Copies of records that are maintained by committee officers that are not official records of the committee, or records listed in Item 16a above and maintained by the designated recordkeeper or Secretary.

Transfer records to incoming chairman or other officer, or destroy when no longer needed for current committee business.

d. Records of Committee Members

Destroy when no longer needed for current committee business.

e. Records of defunct committees, except those records listed in Item 16a.

Destroy 2 years after the committee is terminated.

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Non-NOAA Sponsored Committee, Task Force, Conference, Group, and Board Records

These records document the functions of committees having no direct bearing on the activities of NOAA such as staff professional association committees, private voluntary scientific committees, federal interagency committees or task forces, and other committees NOAA staff may participate in but for which NOAA does not serve as a designated sponsoring or coordinating agency with official governing, policy, or recordkeeping responsibilities.

AUTHORIZED DISPOSITION: Destroy when 5 years old or when no longer needed for current agency business.

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Briefing Files (N1-370-90-3, Item 1501-17)

Overhead transparencies, charts, graphs, tables, copies of notes, outlines, comments, and other records prepared by NOAA staff for briefings to Department of Commerce, NOAA, interagency, and other committees, panels, conferences, and meetings, excluding Congressional reports and briefings. *NOTE:* Refer to Item 11 or 12 in this chapter for appropriate filing and disposition of Congressional briefings and reports.

AUTHORIZED DISPOSITION: Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

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Interagency Cooperative Documents/ Agreements

(N1-370-99-2 2/18/99)

Files created to document Cooperative Agreements, Memorandum of Understanding, Reimbursable Agreements, data sharing, technical support, and program support between NOAA and universities, other Federal agencies, and other public and private agencies.

AUTHORIZED DISPOSITION:

a. Paper records: Close files at the end of the FY in which the agreement expires and transfer to the FRC. Destroy 5 years after closure.

b. Word processing and office automation electronic source documents: Delete 90 days after printed as hard copy and filed in record keeping system.

c. E-mail: Delete 90 days after printout has been filed in record keeping system.

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Proposed and Final Regulations, Rule Making, and Policy Making Documentation (N1-370-03-9)**100-**

Case files detailing the history of regulations, rule making, policy development and the preparation for publication in the Federal Register or other such publications. These

files include all background materials used in developing the regulation, rule or policy; correspondence relating to this development; public comments/minutes of public hearings and the Final Rule/Regulation.

AUTHORIZED DISPOSITION

a. Final Rule/Regulation: Cut off when policy or regulation is published. Transfer to the Federal Records Center 5 years after cutoff. Destroy 20 years after cutoff.

b. Proposed/Not Passed: Cut off when decision is made to no longer develop the regulation or policy. Destroy 5 years after cutoff.

c. Drafts and Comments maintained in other offices providing input to originating office: Cut off when final decision is reached on proposed policy or regulation. Destroy 3 years after cutoff.

d. Electronic copies created in word processing or electronic mail programs: Destroy 90 days after creating record keeping copy.

Note: This entry supersedes the following entries in the NOAA Filing Disposition Handbook: 1504-14b, 1514-04, 1605-15 and 100-15 (the latter in terms of regulation reviews).